

# *Supervising Research Teams to Ensure Ethical Practices*

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# Background

- Serious or persistent noncompliance and research integrity violations cause serious problems
- Even good researchers can find research programs frozen if they do not practices good habit
- Researchers are generally trained to do research, not how to lead and manage research teams

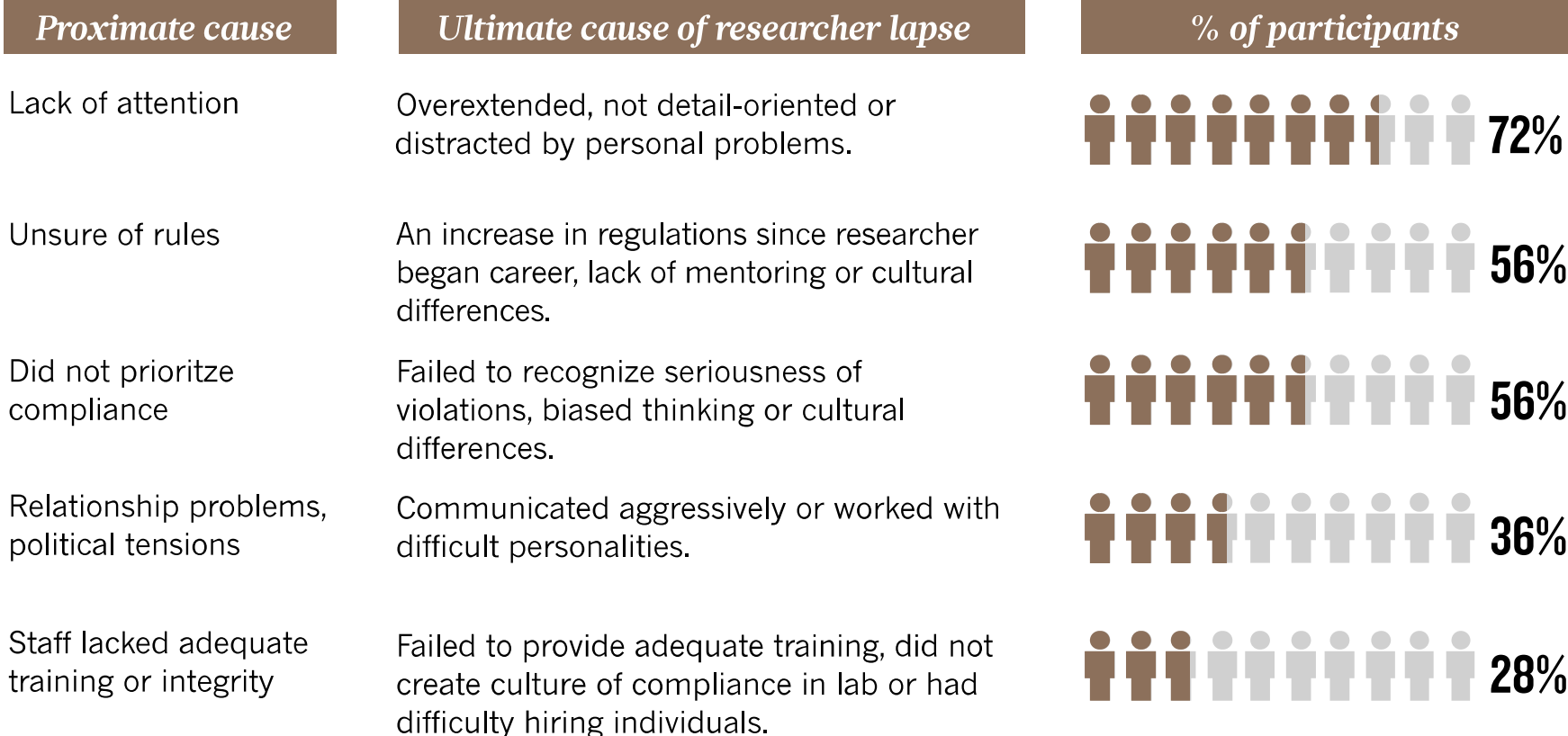
# Understanding Root Causes of Serious Noncompliance: Our Approaches

1. Studied more than 100 cases of violations in research
2. Surveyed nearly 1,000 NIH-funded researchers to examine:
  - Ethical decision-making / Values / Role of Culture / Attitudes / Knowledge of Rules
3. Pre- and Post-testing of PI Program participants (sent for remediation)
4. Interviewed 52 Research Exemplars to understand good research practices (Antes, PI, K01)

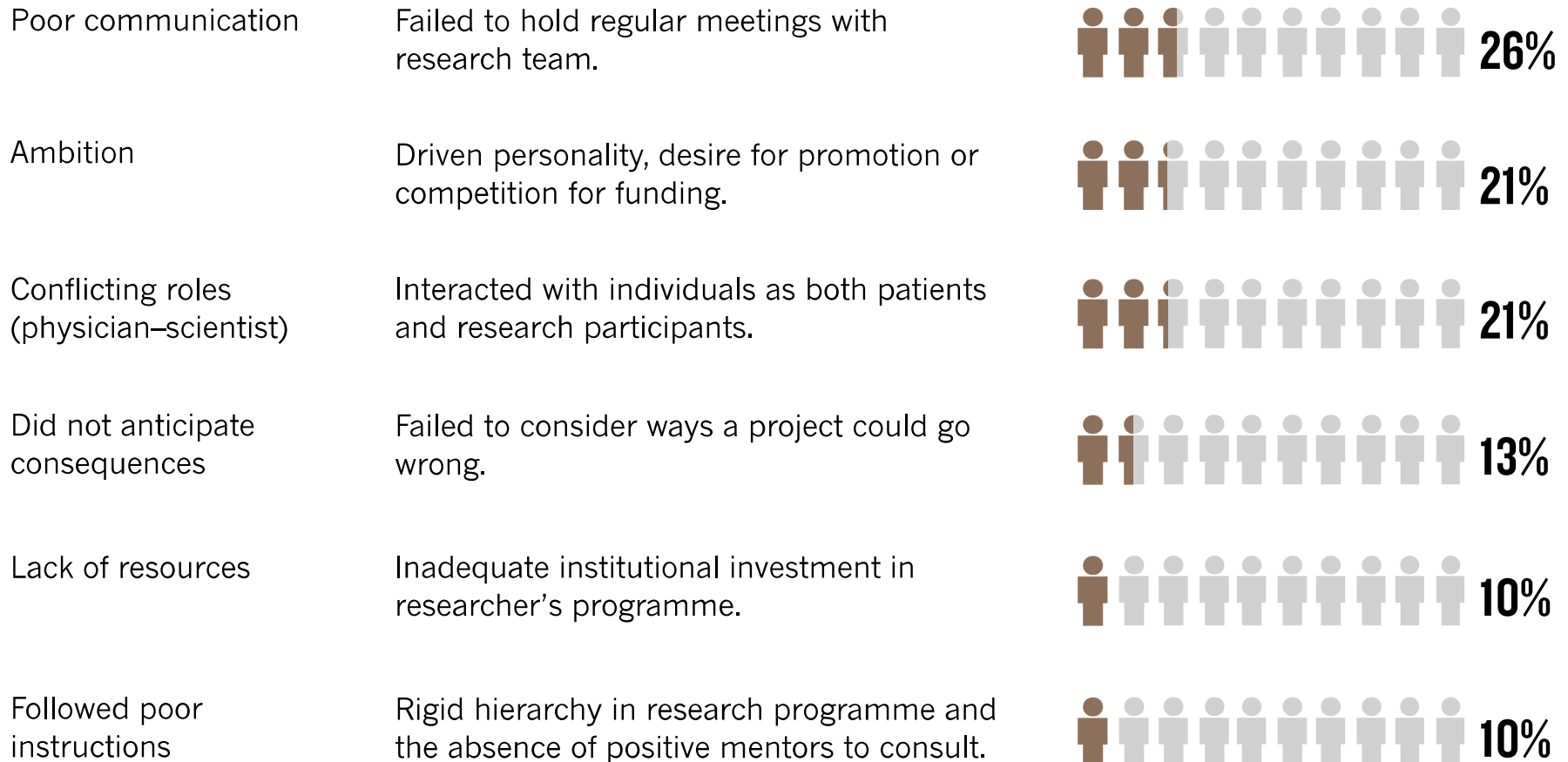
# Root Causes of Persistent Noncompliance (n=39). (Nature paper)

## WHY RESEARCHERS STUMBLERD

Instructors on the Professionalism and Integrity Program assessed underlying causes (often more than one) for researchers' lapses.



# Root Causes of Persistent Noncompliance



# PI Program Approach

We try to address root causes of lapses in research compliance and integrity by addressing:

- Attitudes
- Decision-making strategies
- Work habits

# Attitudes: We Foster Acceptance

- Compliance can be unreasonable and burdensome
- But its important to protect:
  - Institutions & self
  - Sometimes participants & public
- Accept it

**IT'S**  
~~**NOT**~~  
**OK.**



# Good Decision-making Strategies

See SMART Strategies Handout

**S**eek help

**M**anage emotions

**A**nticipate consequences

**R**ecognize rules

**T**est assumptions

# Good Work Habits

See handout on good lab leadership and management practices

In your own research program, which practices in each category do you think you most urgently want to adopt?

1. Management practices
2. Leadership practices
3. General work habits

# Q & A

Lab website:

[www.professionalsocial.org](http://www.professionalsocial.org)

PI Program website:

[www.integrityprogram.org](http://www.integrityprogram.org)

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